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Date: 02 August 2016

## INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

for individual consultants and individual consultants assigned by consulting firms/institutions

Country:	Viet Nam
Description of the assignment:	02 national consultants for Formulation of priority Policies and Measures to support the revision of NRAP, targeting 02 topics of Infrastructure expansion and land use macro-planning and Integrated rural landscape planning
Project name:	Project 00085319: UN-REDD phase II
Period of assignment/services (if applicable):	Maximum 30 working days per priority area (within August - October 2016)

1. Submissions should be sent by email to: [nguyen.thi.hoang.yen@undp.org](mailto:nguyen.thi.hoang.yen@undp.org) no later than: **12 August 2016 (Hanoi time)**.

**With subject line:**

**National consultant 1 - Infrastructure expansion and land use macro-planning**

**or/and**

**National consultant 2 - Integrated rural landscape planning**

Submission received after that date or submission not in conformity with the requirements specified this document will not be considered.

**Note:**

- Any individual employed by a company or institution who would like to submit an offer in response to this Procurement Notice must do so in their individual capacity, even if they expect their employers to sign a contract with UNDP.
  - Maximum size per email is **7 MB**.
  - Any request for clarification must be sent in writing, or by standard electronic communication to the address or e-mail indicated above. Procurement Unit – UNDP Viet Nam will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.
2. Please find attached the relevant documents:
    - [Terms of Reference \(TOR\)](#)..... (Annex I)
    - [Individual Contract & General Conditions](#)..... (Annex II)
    - [Reimbursable Loan Agreement](#) (for a consultant assigned by a firm)..... (Annex III)
    - [Guidelines for CV preparation](#)..... (Annex IV)
    - [Format of financial proposal](#)..... (Annex V)
  3. Interested individual consultants must submit the following documents/information (**in English, PDF Format**) to demonstrate their qualifications:

**a. Technical component:**

- Signed Curriculum vitae
- Copy of 1-3 publications/writing samples on relevant subject.
- Reference contacts of past 4 clients for whom you have rendered preferably the similar service

**b. Financial proposal (with your signature):**

- The financial proposal shall specify a total lump sum amount in **Viet Nam Dong** including consultancy fees and all associated costs i.e. airfares, travel cost, meal, accommodation, tax, insurance etc. – see format of financial offer in Annex VII.
- Please note that the cost of preparing a proposal and of negotiating a contract, including any related travel, is not reimbursable as a direct cost of the assignment.
- If quoted in other currency, prices shall be converted to the above currency at UN Exchange Rate at the submission deadline.

4. Evaluation:

The 2 consultants will be evaluated separately. The technical component will be evaluated using the following criteria:

**National consultant #1**

<b>Consultant's experiences/qualification related to the services</b>		
	<b>Criteria</b>	<b>Maximum Points</b>
1	Advanced degree in Forestry, Natural Resources Management, Social Science, Economy, or related disciplines	200
2	At least 5 years' experiences in strategy and policy development at the national level and policy review, particularly in the infrastructure and macro-planning	200
3	Strong experience providing strategic advice and dealing with the government and development partners	150
4	Strong knowledge of the institutional and legal framework of Viet Nam in relation to infrastructure and macro-planning	200
5	Proven record in engaging with constituencies and stakeholders, including private sector, in the field of infrastructure and macro-planning	100
6	Understanding of REDD+	100
7	Used to work or publish books/writings in English	50
	<b>TOTAL</b>	<b>1000</b>

**National consultant #2**

<b>Consultant's experiences/qualification related to the services</b>		
	<b>Criteria</b>	<b>Maximum Points</b>
1	Advanced degree in Forestry, Natural Resources Management, Social Science, Economy, or related disciplines	200
2	At least 5 years' experiences in strategy and policy development at the national level and policy review, particularly in the field of the field of to rural development and forest-related integrated planning	200
3	Strong experience providing strategic advice and dealing with the government and development partners	150
4	Strong knowledge of the institutional and legal framework of Viet Nam in relation to the field of to rural development and forest-related integrated planning	200
5	Proven record in engaging with constituencies and stakeholders, including private sector, in the field of the field of to rural development and forest-related integrated planning	100
6	Understanding of REDD+	100
7	Used to work or publish books/writings in English	50
	<b>TOTAL</b>	<b>1000</b>

A two-stage procedure is utilized in evaluating the submissions, with evaluation of the technical components being completed prior to any price proposals being opened and compared. The price proposal will be opened only for submissions that passed the minimum technical score of 70% of the obtainable score of 1000 points in the evaluation of the technical component.

The technical component is evaluated on the basis of its responsiveness to the Term of Reference (TOR).

Maximum 1000 points will be given to the lowest offer and the other financial proposals will receive the points inversely proportional to their financial offers. i.e.  $S_f = 1000 \times F_m / F$ , in which  $S_f$  is the financial score,  $F_m$  is the lowest price and  $F$  the price of the submission under consideration.

The weight of technical points is 70% and financial points is 30%.

Submission obtaining the highest weighted points (technical points + financial points) will be selected.

Interview with the candidates may be held if deemed necessary.

## 5. Contract

“Lump-sum” Individual Contract will be applied for freelance consultant (Annex II)

“Lump-sum” RLA will be applied for consultant assigned by firm/institution/organization (Annex III)

Documents required before contract signing:

- Personal History
- International consultant whose work involves travel is required to complete the course on Basic Security in the Field and submit certificate to UNDP before contract issuance.  
  
Note: The Basic Security in the Field Certificate can be obtained from website: <https://training.dss.un.org/consultants>. The training course takes around 3-4 hours to complete. The certificate is valid for 3 years.
- Full medical examination and Statement of Fitness to work for consultants from and above 62 years of age and involve travel. (This is not a requirement for RLA contracts).
- Release letter in case the selected consultant is government official.

## 6. Payment

UNDP shall effect payments to the consultant (by bank transfer to the consultant’s bank account provided in the vendor form (Annex V) upon acceptance by UNDP of the deliverables specified the TOR.

1st payment: 20% of total contract value will be paid upon UNDP’s receipt and acceptance of 1. Inception Reports, for all priority areas, in English and Vietnamese, with work plan and timeline, approach and methodology;

2nd payment: 30% of total contract value will be paid upon UNDP’s receipt and acceptance of 2. Initial brief in English, for all priority areas, including summary compilation of relevant datasets, research reports, legal documents and early consultations.;

3rd payment: 30% of total contract value will be paid upon UNDP’s receipt and acceptance of 3. Draft report for each detailed policies and measures, in English, according to specified table of content.;

Final payment: 20% of total contract value will be paid upon UNDP’s receipt and satisfactory acceptance of Final report of policies and measures for each priority area.

If two currencies exist, UNDP exchange rate will be applied at the day UNDP instructs the bank to effect the payment.

7. Your proposals are received on the basis that you fully understand and accept these terms and conditions.



## **TERMS OF REFERENCE (TOR)**

### **Formulation of Priority Policies and Measures To support the revision of Viet Nam's National REDD+ Action Programme (NRAP)**

<b>TITLE:</b>	<b>02 Individual National Consultants</b> - Formulation of priority Policies and Measures to support the revision of NRAP, target on the topics of <b><i>Infrastructure expansion and land use macro-planning</i></b> and <b><i>Integrated rural landscape planning</i></b>  <u>National consultant 1</u> - Infrastructure expansion and land use macro-planning <u>National consultant 2</u> - Integrated rural landscape planning
<b>Duty Station:</b>	Ha Noi
<b>Duration of Appointment</b>	30 days per package over 2,5 months (August - October 2016)
<b>Reporting Project code</b>	UNDP and National Programme Director of UN-REDD phase II 00085319

### **1. Background**

Vietnam is one of the first Asian countries engaged in REDD+, with early support from the UN-REDD Programme, the World Bank FCPF, and various other initiatives. Vietnam is preparing to benefit from the REDD+ result-based payment mechanism as defined under UNFCCC, which requires a set of 4 major elements including a national strategy or action plan.

In June 2012, Vietnam was among the first countries in the world to formulate and adopt its National REDD+ Action Programme (NRAP), covering the 2012-2020 period. The first phase of the NRAP was implemented between 2012 and 2015, and assessed independently in late 2015. The evaluation recommended revising the NRAP to build on updated UNFCCC guidance, as well as international, national and subnational experiences. Main recommendations for the revised NRAP include:

- To be developed through a more participatory process, providing the basis for a shared vision for REDD+ in the country
- Needs to clearly fit and support the wider context of sustainable development in the country
- Provides clarity on key REDD+ design elements and focus more on priority elements for REDD+ implementation
- Needs to better define how REDD+ will be implemented: scope and scale
- Needs to define appropriate policies and measures based on a strong analytical base, understanding the costs and benefits of the choices
- Needs to more clearly build upon current policies and practices and identify additional activities which need to be introduced and funded
- Needs for clear monitoring and evaluation system for the NRAP
- Needs to review, streamline and strengthen institutional arrangements

There are various challenges for Vietnam to credibly and convincingly revise its NRAP, so as to strengthen trustful relationship with financial partners, mobilize all relevant stakeholders, and eventually secure and deploy investments and achieve expected results. A key challenge consists in effectively engaging inter-sectoral

dialogue and mobilizing other sectors, at technical and political levels, to address direct and indirect drivers of deforestation and forest degradation in a comprehensive manner, and participate fully in the national REDD+ endeavor.

Policies and measures (PAMs) are a central part of the NRAP, precisely presenting what Vietnam will do to address drivers and implement REDD+. They can encompass specific sectors, like forestry, agriculture, energy etc. They can also deal with enabling conditions for REDD+, usually targeting underlying drivers.

### **Targeted Consultancy to Support the Revision of the NRAP**

The revision of the NRAP falls under the responsibility of MARD. It is guided by the National REDD+ Steering Committee, supervised by an inter-ministerial drafting committee, and technically led by the Vietnam REDD+ Office with support from the UN-REDD Programme. It will follow a core process composed of three steps:

- March-August 2016: Consolidation of all data, studies and experiences into an “Issues and Options Paper”, as the robust technical and analytical background and framework to revise solutions (policies and measures).
- July-October 2016: Formulation of REDD+ revised policies and measures through intensive consultations.
- September-November 2016: Broader consultations including political level, revisions, finalization and approval of the revised NRAP for the period 2016-2020.

A set of targeted consultancies will support the second step with “formulation of priority policies and measures”. Individual consultants are being recruited as per present terms of reference to gather all relevant experience and expertise and formulate the policies and measures in the fields to be identified by step 1. As part of this framework, these terms of reference determine the objectives, work plan and deliverables of 2 out of 8 targeted consultancies.

## **2. Objectives**

The main objective of the framework of targeted consultancies is to formulate a set of policies and measures to address challenges and opportunities related to each priority area, as part of REDD+ implementation in Vietnam for the 2016-2020 period.

A set of REDD+ PAMs priority areas has been developed. 6 PAMs priority areas have been identified and launched earlier, in the field of forest land tenure, forest law enforcement community forestry, forest-friendly agriculture commodities including coffee and aquaculture, improved forest plantation models, and restoration and rehabilitation of natural forests. The present terms of reference encompass the last additional areas:

- ***Infrastructure expansion and land use macro-planning***
- ***Integrated rural landscape planning***

As part of these terms of reference, the consultants will formulate the related and detailed PAMs (one PAM per consultant) to fit into the technical annex of the revised NRAP.

For each priority area, these terms of reference encompass the following specific objectives:

- Foster national leadership on forest and priority areas for REDD+ PAMs
- Improve coordination of stakeholders and partners on forest, REDD+ and priority areas, inside and outside the forestry sector
- Enhance collective understanding of relations between forest, REDD+ and priority areas
- Take advantage of, and build on accumulated experience and expertise at national and sub-national levels
- Review the available experience and knowledge, and formulate comprehensive set of policies and measures for the revised NRAP
- Consult with key experts and practitioners to ensure robustness of proposals
- Prepare consolidated report on Vietnam forest, REDD+ and priority areas to fit into the revised NRAP technical annex.

## **3. Scope of Assignment and Methodology**

Based on the preliminary information and analysis made in the 1<sup>st</sup> phase of the NRAP revision process, the role of the consultant team will be to (i) detail the initial analysis of the issue in relation to REDD+ and green growth, (ii) propose relevant PAMs, and (iii) provide inputs for the results framework.

Building as much as possible on existing PAMs, complementing them as necessary, consultants will analyze options and formulate their main report (fully-fledged policies and measures for the 2016-2020 period, cf. table of content above) according to:

- The nature and scope of existing REDD-relevant PAMs, ;
- Alignment with national (and/or subnational) development priorities and plans;
- Political acceptability and/or support for particular actions;
- The likely costs and benefits of the PAMs (incl. non-carbon benefits), potential for (national/bilateral/multilateral; public/private) funding for PAMs implementation;
- The mitigation potential of the PAMs;
- The potential social and environmental benefits and risks;
- The capacity (at national and provincial levels) to implement the PAMs effectively & efficiently;
- The ability to monitor the implementation and, as relevant, the outcome of individual PAMs;
- The ability of the NFMS to measure the outcome of the overall package of PAMs.

#### 4. Expected Outputs/deliverables

Each targeted consultancy (on each priority area) is expected to produce:

- **August 26<sup>th</sup>, 2016:** An initial brief scoping the priority area in the context of REDD+, including a summary review of all background information, and listing preliminary activities and actions of relevance for the NRAP 2016-2020 PAMs, as well as identifying the necessary linkages with other relevant thematic areas;
- **September 30, 2016:** A draft comprehensive report on proposed policies and measures related to land tenure as part of the revised NRAP, based on existing PAMs and how they would need to be adapted and/or complemented;
- **October 28<sup>th</sup>, 2016:** Full report, including detailed methodology supporting the PAMs formulation

The full report is expected to contain:

- Executive summary
- **Part 1: Summary review**
  - Overview of the topic (infrastructure and macro-planning or rural landscape and development) to the economy and related strategies and plans
  - Key institutional & private actors at national and subnational – mandates and relations
  - Relevant policies, laws, regulations and plans, and their implementation
  - Challenges and opportunities related to the topic for REDD+ in Vietnam
  - Relevant experiences and lessons learnt at national and sub-national level
- **Part 2: Proposed policies and measures for each topic** within the revised NRAP
  - Theory of change (Problem statement, desired changes, objectives and strategic directions)
  - Logical framework (including articulating current priorities, policies and plans with additional REDD+ driven activities)
  - Priority geographical areas
  - Proposed activities (national, provincial & local-levels) with expected outputs and budget, and integration with existing policies and programmes
  - Stakeholders' engagement and partnerships
  - Cost and multiple benefits analysis (including mitigation potential and non-carbon benefits)
  - Potential for (national/bilateral/multilateral; private/public) co and parallel funding for PAMs implementation
  - Risk assessment and management: feasibility of implementation (including political, technical, capacity factors), potential socioeconomic and environmental impacts...
  - Monitoring and evaluation framework and arrangements
- **Annex: activity report** (reviewed literature, lists of consultations and meetings, methodological tools and matrices...

#### 5. Location and logistic/technical supervision

**Duration:** Maximum 30 working days per priority area on average between August and October 2016 – With 02 priority area of works: infrastructure expansion and land use macro-planning, integrated rural landscape planning.

**Technical supervision:** Each consultant will work under the supervision of the National Programme Director (NPD) and the Deputy NPD who is also the Director of Viet Nam REDD+ Office (VRO). They will work closely with NPD, VRO and the three UN implementing agencies (UNDP – the Lead Facilitating Agency, FAO and UNEP), with the consultants working on the NRAP revision, as well as the governmental NRAP drafting team and other REDD+ stakeholders in Viet Nam, through regular meetings and discussions. Consultants will be required to regularly report to the responsible staff of UNDP Viet Nam, the PMU, and VRO on the progress of the work.

**Location:** Hanoi (home based possible)

## 6. Requirements for the consultants

The consultants will have to demonstrate (through resume and relevant references) capacity to provide the appropriate expertise with recognized qualification to conduct assignments on each of related priority areas. Each consultant is applying for one Policy and Measure priority area, or a maximum of two priority areas (as each assignment represents a half-time work load, provided the consultant qualifies on both areas of expertise). Consultants for the priority areas should meet the following shared and specific expertise and qualifications:

### **Shared expertise and qualification:**

<b>Education</b>	<ul style="list-style-type: none"> <li>- Advanced degree in Forestry, Natural Resources Management, Social Science, Economy, or related disciplines</li> </ul>
<b>Professional experience</b>	<ul style="list-style-type: none"> <li>- At least 5 years experiences in strategy and policy development at the national level and policy review.</li> <li>- Strong experience providing strategic advice and dealing with the government and development partners</li> <li>- Strong communication skills, including demonstrated written and presentation skills and the capacity to relate to both internal and external constituencies of the project;</li> <li>- Understanding of REDD+</li> <li>- Fluent English</li> </ul>

### **Specific expertise:**

<p><b>Consultant #1:</b> Infrastructure expansion and land use macro-planning</p>	<ul style="list-style-type: none"> <li>- Strong knowledge of the institutional and legal framework of Viet Nam in relation to infrastructure and macro-planning</li> <li>- At least 5 years of relevant experience in the field of infrastructure and macro-planning</li> <li>- Proven record in engaging with constituencies and stakeholders, including private sector, in the field of infrastructure and macro-planning</li> </ul>
<p><b>Consultant #2</b> Integrated rural landscape planning</p>	<ul style="list-style-type: none"> <li>- Strong knowledge of the institutional and legal framework of Viet Nam in relation to rural development and forest-related integrated planning</li> <li>- At least 5 years of relevant experience in the field of rural development and forest-related integrated planning</li> <li>- Proven record in engaging with constituencies and stakeholders, including private sector, in the field of rural development and forest-related integrated planning</li> </ul>

## 7. Deliverables, timeframe and payment schedule

Outputs	Deadlines for completion	Tentative payment schedule
1. Inception Reports, for all priority areas, in English and Vietnamese, with work plan and timeline, approach and methodology.	– Updated and submitted for approval of the programme within 10 days after the date of signing contract.	20% of total contract
2. Initial brief in English, for all priority areas, including summary compilation of relevant datasets, research reports, legal documents and early consultations.	– Submitted for approval of the programme within 05 (five) weeks since the approval of the inception report, or no later than September 16th, 2016	30% of total contract
3. Draft report for each detailed policies and measures, in English, according to specified table of content.	– Submitted for consideration of the programme within 07 (seven) weeks since the approval of the inception report - no later than September 30th, 2016	30% of total contract
4. Final report of policies and measures for each priority area	– Submitted for approval of the programme no later than October 28th, 2016	20% of total contract



## **Annex #1 to TOR – Rationale for each priority area**

### **✓ Infrastructure expansion and land use macro-planning**

According to MARD (2014) from 2006-2014 around 70,000 ha of forest were converted for infrastructure development. This forest loss has mainly resulted from construction of hydropower (29,582ha), rural infrastructure (19,190ha), resettlement (5,244ha), irrigation (5,100ha) and tourism facilities (4,600ha). Among this, the area of natural forest cleared was 64% (43,665ha), and a majority came from special use forest (12.5%) and protection forest (44.5%). Over the past 10 years, hydropower has been considered one of the biggest threats to forests in Vietnam, and the government has made several interventions to reduce forest loss from this development. There is not only the direct impact from dam construction but also the indirect effect from in-migration and the resettlement of people. According to the Vietnam Power Development Planning (PDP, version 7), planning for (mega and medium) hydropower projects will stabilize, so this driver is not expected to be as important in the future. Focus areas of this driver have historically been the Central Highlands, Northern Central, Southern Central and Northwest regions. Also Viet Nam's roads have more than doubled in length since 1990 and are regularly developed with little regard to environmental impacts.

The poor siting of the infrastructure projects in forested areas and associated impacts are often a result of weak governance at both the national and sub-national levels with regards to the assessment, approval and compliance checks on infrastructure projects.

Vietnam has developed a legal framework around SEA and EIA with several revisions over the past 20 years. However, the existing regulatory instrument, known as *Decree 18/2015/ND-CP* on EIA, still has various limitations. The first is the often weak technical assessments and lack of consideration of different environmental and social impacts during the planning stage. As a consequence, this has led to infrastructure proposals lacking reliable information as well as a lack of consideration for environmental and social safeguards. Most of these potential impacts can be moderated—and some avoided altogether—through careful planning, project design, and siting. Secondly, the past and current EIA regulations do not include adequate public consultation or independent review at the stages of assessment and appraisal. Local communities and forest owners who are affected by projects may not be consulted or may even be marginalized. There is no strict mechanism to ensure investors provide adequate consultation. Thirdly, the weak accountability mechanisms for planning and approval of such development projects, as well as monitoring their impact, opens up the process to local level fraud and corruption. The lack of effective collaboration between responsible agencies at the central level (MONRE, MARD, MPI) and local level (PPC, investors, forest owners, rangers, local authority) and capacity to undertake monitoring is a major cause for this.

There is the need for more public consultation within the planning, design and monitoring of such development projects; especially through media and local communities is key. The likely reversal of the decision for a dam project which would have impacted on Cat Tien National park clearly highlights the power of media and grassroots movements. To do this, the public need to be able to freely access information about EIA documents, which by law investors and MONRE/DONRE are responsible for undertaking. It is expected that by 2018 the newly-approved Law on Access to Information comes into effect, which will allow public access to environmental information.

Ensuring optimal trade-offs between infrastructure expansion and forest protection, from an environmental but also an economic and social perspectives, requires to take a broader lense in terms of macro-planning. Decision on construction of a road or a dam is connected to local considerations (impact on local ecosystems for instance) but also to national and strategic ones (trade strategy, energy plans, forest and climate plans, green growth objectives and targets, ethnic minorities' strategies of development...). Such decisions are meant to be made, eventually, by considering both levels' priorities, impacts and benefits. Instruments for such land use macro-planning could be improved to better factor the multiple goods and services provided by forests into current decision-making instruments.

Underlying short-comings results from weak governance, instruments for decision and coordination as well as lack of capacity (technical, financial and human resource) from key stakeholders at ministries and provinces.

As part of this targeted consultancy, the consultant will need to pay particular attention to the following issues when implementing the methodology and formulating the PAM based on the provided table of content:

- ✓ Assess the current EIA regulation for development projects and provide recommendations and steps on strengthening the inspection and supervision of the appraisal, approval, and implementation, and post-EIA monitoring processes for infrastructure projects that causes forest conversion or are required to compensate for forest loss.
- ✓ Review the land use macro-planning instruments and processes, identify areas of progress and propose instruments and arrangements to support a more streamlined, smooth and effective design, decision-making and implementation processes over large (public or private) infrastructure investment.
- ✓ Explore ways to improve effective public participation in EIA development, particularly civil society and media. This refers to strengthening EIA performance to be more participative, transparent and accountable to the public. This could examine how the new Law on Access to Information could be used by local networks in order to gain access to the environmental and social impacts of development projects.

Consultant will have to closely cooperate with other targeted PAMs to ensure consistency, synergies and avoid overlap, notably:

- Rural integrated landscape planning
- Land tenure and forest land allocation
- Forest law enforcement

✓ **Integrated rural landscape planning**

Decisions by local agent to rehabilitating, protecting or sustainably managing and exploiting forests, or reversely to deforest, legally or illegally, are often complex and integrate multiple concerns and opportunities. For sure, promoting and inducing forest-friendly decision offers a major potential for REDD+ in Vietnam. It requires to explore in detail some specific issues, for instance commercial agriculture, forest land allocation, community forestry, forest law enforcement, best practices for plantations or taking advantage of sustainable use of natural forests' benefits... But it also requires to explore ways to integrate these various aspects and sometime conflicting interests and pressures into coherent and optimal management plans at local level. A landscape level approach allows to bring all these issues together, including subsistence agriculture, in-migration and food security, fires, local infrastructure development, and allow a robust, ideally transparent and participatory process for deciding on land allocation and activities to be carried out in relation to forests. This priority area will look at the experiences of rural planning, and will develop policies and measures to improve an integrated approach to rural landscape planning. The following paragraph shed light on specific issues.

Paddy rice is by far the biggest annual crop produced in Vietnam, covering an area of over 8 million ha; there are also high levels of corn and cassava produced which are primarily grown to meet basic needs (though cassava is increasingly being exported). Given the high population densities and lack of suitable land many farmers face the problems of access to land. The general pattern prior to the 1990s of agricultural expansion for subsistence fuelled the rapid loss of forest land. However, this trend has been reversed due to a number of factors discussed below. This hides differences across the country where there continues to be localised trends of deforestation and forest degradation. Rather than disaggregating crop by crop it is important to understand the general forest transition trends in order to identify possible PAM and priority interventions with subsistence agriculture.

Examining the forest transition in the North of Vietnam provides a deeper understanding of the changes happening across the country. In the early 1990s, as a result of the de-collectivisation of agriculture, the allocation of forestry land to state companies and households, and the development of market networks land use in the mountains of Vietnam was transformed gradually leading to an *increase* in the forest area. Various studies have shown that this is a result of both forest scarcity and the adoption of smallholder agricultural intensification practices. Reforestation resulted from new policies allocating forestry land to households and state companies, the growing local scarcity of forest products due to large scale encroachment in the 1980s, and the development of remote demand for timber. In marginal regions, land scarcity associated with population growth, land degradation, and political restrictions led to, on the one hand, a decline in cultivation on hillsides followed by reforestation and, on the other hand, an increase in labour inputs on the plots with the highest agro-ecological potential. The development of markets for agricultural inputs and outputs also contributed to reforestation by raising agricultural productivity in mountain paddies and maize fields. This

reinforced the concentration of agriculture on the most suitable land allowing the marginal areas to regenerate. The question remains how such a transition can be transplanted to areas where forest loss continues due to the expansion of subsistence agriculture, in particular the Central Highlands, and what REDD+ interventions are needed. This analysis highlights the need to not just focus on the direct drivers but to influence/accelerate the overall forest transition process.

Studies show that the spatial pattern of deforestation does not correspond to locations with the highest agro-ecological potential for crops (for example coffee) and due to its often informal nature, deforestation caused by displacement of marginalized smallholders is not integrated into the land use planning process. Occasionally, pressed by an increasing population facing land scarcity, local authorities grant rights to extend agricultural lands over forests or officialise the existence of newly expanded cropland, in an ad-hoc manner. There is therefore a need to better identify the most suitable agro-ecological areas, as well as areas of high environmental and social risks and to develop a more integrated and comprehensive plan for meeting multiple objectives across the region, and at rural landscape level. This needs to bring the more marginalised groups and their needs into the more formal economy. Based on the agro-ecological potential of land, spatial planning of production forestry lands destined to remain forested, versus those which might eventually be cleared for agriculture, might be used to open new areas for smallholders and ethnic minorities. If not integrated with a policy to support marginalized smallholders, land zoning can eventually be mainly restrictive for subsistence agriculture, as market agriculture progressively displaces the former.

Forest fires have also been identified as a serious driver of deforestation in Vietnam. Forest fires generally occur in the dry months during the hot, dry season. According to reports by the Forest Protection Department, from 1995 to 2013 forest fires destroyed over 80,112 ha of forest area or an annual average loss of 4,216 ha. The highest risk area for forest fires is the Central Highlands, Northwest provinces, North Central Provinces and the Peatswamp Melaleuca forest areas in Ca Mau and Kien Giang. Each year from the beginning of the dry season, forest owners and local authorities develop specific forest fire prevention and treatment plans in critical areas [*Decree No. 09/2006/ND-CP, dated 16 January 2006 issued by Government regulating forest fire fighting and prevention*]. The government is highly motivated to tackle forest fires.

The main cause of human induced fires is cited as carelessness of local people visiting the forest area. Locals cut wood in the forest and/or burn areas to use as cultivation land during the rainy season. Collection of honey is also viewed as a cause of forest fire in Melaleuca forests, through the practice of using smoke to stun bees. Forest Rangers are the main agency for forest fire prevention and treatment; however, in some locations, particularly less inaccessible areas, forest protection control is weak and forest fire fighting and prevention measures are not seriously implemented. In cases of large forest fires, the Forest Protection Unit will work with the local army forces, authorities and local communities in order to extinguish fires. Though the cooperation and coordination between the Forest Protection Unit and other agencies, as regulated by *Decree 74/2010/ND-CP, Inter-ministerial Circular 98/2010/TTLT-BQP-BNNPTNT, and Inter-ministerial Circular 144/2002/TTLT/BNNPTNT-BCA-BQP*, at the site level this coordination is often weak and local communities may not be highly motivated in fire prevention and fire-fighting measures. At the site of peat swamp Melaleuca forests, prolonged dry weather has put melaleuca forests at high risk of wildfires. Many of the forests have begun to wilt because the water in the canals surrounding the trees has evaporated. A key problem in this case is the hydrology management system which is leading to greater emissions, both from subsidence and forest fires. Managing fires more efficiently clearly needs to be factored into broader rural landscape management strategies and plans.

Multiple stakeholders and intertwined objectives must be associated with integrated rural landscape planning, notably poverty alleviation, food security, resilience and adaptation to climate change, ethnic minority's rights... Particular attention must be paid to engaging marginalized people, as well as tapping on the potential of private sector's investment and contribution to scale up identified solutions.

As part of this targeted consultancy, the consultant will need to pay particular attention to the following issues when implementing the methodology and formulating the PAM based on the provided table of content:

- ✓ Develop a sustainable vision for the rural landscapes which integrates the needs of multiple stakeholders in particular the marginalised ethnic minority groups and their subsistence needs. This will support intensification of production and labour in certain areas and identify other areas potentially for conversion as well as for forest protection.
- ✓ Demand for staple crops are demand inelastic, so displacement and rebound- effect would tend to be less strong. Extension efforts for intensification of staple crops, especially in shifting cultivation

systems, might thus contribute to improve the socio-economic conditions of ethnic minorities while reducing deforestation, as it occurred elsewhere in the northern mountains of Vietnam. There is therefore the need to review and consolidate assessments of current staple crops and prioritise activities to support intensification and assess the likely impact given the changes which occurred in the North of Vietnam. This needs to be carried out alongside efforts to shift the cash crops onto more sustainable production (see priority area related to forest-friendly agriculture commodity supply chains).

- ✓ In order to ensure more equitable sharing of the benefits of agricultural development, especially among ethnic groups involved in staple crops it is necessary to examine and potentially revise land policies to integrate local ethnic groups into the mainstream economy. This might allow for more transparency and control over land transactions, and more possibilities to equalize their bargaining power with Kinh and other immigrants. Therefore, an assessment and recommendations on how to achieve this would be advisable.
- ✓ Currently fighting forest fires is a priority of the government and this has helped to tackle this problem; however it is less clear if the current forest fire prevention approach is the most efficient, in particular in remote areas. There is a need for further study to assess the impact and efficiency of the current prevention system with a view to possible updating current activities; this should include wider application of co-management approaches with local communities.
- ✓ Review and consolidate studies on best practice fire prevention measures and update technical advice and communications and outreach to local communities in fire prone areas.
- ✓ Explore in particular the potential role of private sector (households, cooperatives, private companies...) in engaging with forest-friendly investments and livelihood-support activities, related barriers and levers to scale-up private sector's engagement to implement integrated rural landscape plans.

Consultant will have to closely cooperate with all seven other targeted PAMs to ensure consistency, synergies and avoid overlap, notably:

- ✓ Forest-friendly commodity supply chains
- ✓ Land tenure and forest land allocation
- ✓ Community forestry
- ✓ Forest law enforcement
- ✓ Improved forest plantation models
- ✓ Restoration and rehabilitation of natural forests
- ✓ Infrastructure expansion and land use macro-planning

## Annex #2 to TOR – Methodology for PAMs formulation

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### Introduction

This document is intended as a support to the consultancies on thematic issues aimed at feeding the NRAP revision process. It is requested that consultant build on this and integrate these elements in their report. Regular interactions with the NRAP consultant team and VRO are encouraged and expected.

This consultancy work should build heavily on the extensive corpus of analytical work already existing in Vietnam, placing it in the context of REDD+, and make strategic recommendations to the NRAP consulting team, which will be in charge of integrating the various recommendations in an overall coherent package of policies and measures for REDD+. Numerous analytical documents have been or are being carried out through the national REDD+ process which are directly relevant to these consultancies that the consultant should also draw from, in particular the preliminary Issues & Options paper from the NRAP consultant team, but also various documents on safeguards and other elements of REDD+. The consultants should also ensure adequate consultation of key experts as well as stakeholders groups (government, research & education institutions, domestic & international civil society, donors etc).

The steps described aren't meant to be strictly sequential and the templates given are indicative and should be adapted according to context and needs.

**Proposed processes:** Review of legal & policy framework, Review of relevant past & present programmes and interventions, Literature review of analysis and lessons learnt, Consultations (Bilateral, small groups of key experts from various stakeholders groups, stakeholders groups)

**Proposed inputs:** Draft NRAP Issues & Options paper, report on institutional capacity to implement Policies, Laws & Regulations, report on Stakeholders analysis and stakeholders engagement for REDD+; other Analytical documents, programmes & projects reports, etc

Identification of main issues, challenges and opportunities

#### Some support documents:

- **Preliminary Issues & Options paper**, building on and reviewing it, including the broad review of relevant policies, laws and regulations, and the drivers/barriers conceptual models & narratives (either the specific one if the thematic issue is covered: e.g. subsistence agriculture, or identify the various problems identified in the various conceptual models that are relevant to the specific thematic issue)
- **Report on institutional capacity to implement Policies, Laws & Regulations** (ongoing, final report by end July)

#### Some guiding questions:

- **What is the policy, legal & institutional framework relevant to the thematic issue and how does it support or hinder the 5 REDD+ activities** (deforestation, degradation, sustainable management of forests, conservation and enhancement of forest carbon stocks):
  - Policy: adequacy, political support, guidance, budget, coherence across sectors as well as

- across levels of government, adaptive management, etc;
- Legal: adequacy, coherence, etc;
- Institutional: mandate, HR, budgeting, etc)
- **How does practice differ from these frameworks** and how does that support or hinder the 5 REDD+ activities? (incl. multi-level governance)
- **Is information flowing adequately, horizontally and vertically, and how does that influence implementation?** (Awareness/understanding among stakeholders, adequate M&E adaptive management tools and processes, information sharing across administrations, etc)

	Main issues identified	Recommendations from literature
Policy framework		
Legal Framework		
Institutional framework		
Implementation		
Information flow		
xxx		

This should be accompanied by a narrative

Identification of ‘agents of change’

**Some support documents:**

- Stakeholders analysis and stakeholders engagement for REDD+ report (2014)

For the main issues or categories of issues listed, identify the various agents involved directly or indirectly, as well as those that may have a positive or negative influence on it, and how.

Types of agents to be considered (complement and precise as relevant): Government, Civil society, Private sector, Research institutions, Forest users (as appropriate), etc

List these by issue or by agent, depending on what’s most feasible. E.g:

	Governance level	Influence (Currently)	Influence (Potentially)
<i>Main issue 1</i>			
<b>X</b> (e.g. MARD)	● National	●	●
	● Provincial	●	●
	● District/Local?	●	●
<b>Y</b>	● National	●	●
	● Provincial	●	●
	● District/Local?	●	●

Long-listing of potential interventions

Brainstorming of potential interventions to address the

**Some guiding questions:**

- What past and current programmes related to the thematic issue (e.g. forest land tenure) have been contributing positively or negatively to the 5 REDD+ activities? (How, where, by whom, how effective)
- What have been the factors of success and weaknesses from these programmes and how could have they been improved?

Main issues identified	Proposed interventions	Type of intervention
	• •	• •
	• •	• •
	• •	• •
	• •	• •
	• •	• •

The various types of interventions may include Diagnostic, Reforms (policy, legal, institutional framework), Incentives schemes, Investments, Capacity building, Research, etc

Multi-criteria prioritization

**Some support documents:**

- [BeRT worksheets](#)

The overall scoring and prioritization process is for consultation purpose of various stakeholders groups and should be taken only as such, as some individual or combination of criteria may prove critical in the decision to take it forward or not. This should necessarily be complemented by thematic as well as REDD+ experts' assessment, before political approval.

**Some guiding questions:**

- How do these potential interventions build on existing programmes and initiatives and complement them to address their weaknesses (i.e. how do they address finding of evaluations and assessments)? In other words: how are they transformational rather than just "business as usual" interventions?
- What interventions are necessary pre-requisite for others? (sequencing)
- How do these interventions link to other sectors?

**Main criteria to be considered:**

Type	Main criteria	Note (1/5)
<b>Impact</b>	Expected carbon impact / Importance in addressing the main direct & underlying drivers and barriers ( <i>for enabling interventions</i> )	
	Viability of impact	
<b>Financial feasibility</b>	Costs of implementation	
	Opportunity of alignment with domestic financing	
	Opportunity for international fundraising	
<b>Political feasibility</b>	Political support at National level	
	Political support at Provincial level	

	Political support at local level	
	Alignment of interests across levels of government	
<b>Technical feasibility</b>	Technical feasibility	
	Legal feasibility (new law required?)	

<b>Non-Carbon benefits</b>	Contribute to national development objectives	
	Contribute to national environmental objectives	
<b>Risks</b>	Risks of negative social impact ( <i>requiring mitigation measures</i> )	
	Risks of negative environmental impact ( <i>requiring mitigation measures</i> )	

Risks and non-carbon benefits: *Consultants should read the UN-REDD factsheets and guiding question for each of the Cancun safeguards in order to be able to do a preliminary quick assessment, as well as guide consultations adequately. It is not however expected that each intervention will at this stage undergo an extensive consultation through this guideline.*

**Additional criteria may be considered, as relevant to the thematic issue considered:**

Type	Potential additional criteria	Note (1/5)
<b>Impact</b>	Makes use of non-forested land	
	Reduces pressure on forest	
	Increases value of standing forests	
	Helps stabilize migration flows	
<b>Financial feasibility</b>	Short-term cost-effectiveness	
	Long-term cost-effectiveness	
	Transaction costs	
<b>Political feasibility</b>		
<b>Technical feasibility</b>	Technical capacity required for implementation	
	Logistical feasibility of implementation	

#### Grouping of short-listed interventions

Short-listed interventions should be grouped in coherent packages that will help demonstrate the overall coherence of the set of individual interventions prioritized in order to tackle the main issues, and identify potential gaps.

PAM package (issue)	PAM	Gov level			Coordinating agency	Implementing agency/partner
		N	P	L		
P-PAM 1		X			MARD	



				x	MPI	
				x	...	
P-PAM 2			x	x		
P-PAM 3						

Detailed Risks and non-carbon benefits analysis

**Some support documents:**

- [BeRT worksheets](#)

PAM package (issue)	PAM	Multiple benefits
P-PAM 1		
P-PAM 2		
P-PAM 3		

PAM package (issue)	PAM	Social & Environmental	Mitigation measures
P-PAM 1			
P-PAM 2			
P-PAM 3			

Mapping of relevant financing flows and gaps

Mapping of relevant existing interventions (government, technical and financial partners) and budgets related to the main issues and interventions prioritized, in order to identify potential synergies and gaps

Nb	Coordinating agency/Implementing partner	Programme	Period	Budget (M\$)	Sector of intervention	Main objectives	Target areas	Potential for REDD+ synergies	Comments

PAM package (issue)	National budget	ODA	Others	Gaps
P-PAM 1				
P-PAM 2				
P-PAM 3				

Summary description of proposed intervention packages

Intervention package X:	
Description:	Expected budget needs:
<b>Main issues addressed</b>	<b>Interventions proposed</b>
<b>Factors for success</b>	<b>Opportunities for synergies</b>
<b>Social risks</b>	<b>Environmental risks</b>
<b>Priority geographic areas</b>	<b>Geographic selection criteria</b>

## **Annex VI**

### **GUIDELINES FOR PREPARING CV**

WE REQUEST THAT YOU USE THE FOLLOWING CHECKLIST WHEN PREPARING YOUR CV:

Limit the CV to 3 or 4 pages

NAME (First, Middle Initial, Family Name)

Address:

City, Region/State, Province, Postal Code

Country:

Telephone, Facsimile and other numbers

Internet Address:

Sex, Date of Birth, Nationality, Other Citizenship, Marital Status

Company associated with (if applicable, include company name, contact person and phone number)

#### **SUMMARY OF EXPERTISE**

Field(s) of expertise (be as specific as possible)

Particular development competencies-thematic (e.g. Women in Development, NGOs, Privatization, Sustainable Development) or technical (e.g. project design/evaluation)

Credentials/education/training, relevant to the expertise

#### **LANGUAGES**

Mother Tongue:

Indicate written and verbal proficiency of your English:

#### **SUMMARY OF RELEVANT WORK EXPERIENCE**

Provide an overview of work history in reverse chronological order. Provide dates, your function/title, the area of work and the major accomplishments include honorarium/salary. References (name and contact email address) must be provided for each assignment undertaken by the consultant that UNDP may contact.

#### **UN SYSTEM EXPERIENCE**

If applicable, provide details of work done for the UN System including WB. Provide names and email address of UN staff who were your main contacts. Include honorarium/salary.

#### **UNIVERSITY DEGREES**

List the degree(s) and major area of study. Indicate the date (in reverse chronological order) and the name of the institution where the degree was obtained.

#### **PUBLICATIONS**

Provide total number of Publications and list the titles of 5 major publications (if any)

#### **MISCELLANEOUS**

Indicate the minimum and maximum time you would be available for consultancies and any other factors, including impediments or restrictions that should be taken into account in connection with your work with this assignment.

Please ensure the following statement is included in the resume and that it is signed and dated:

I CERTIFY THAT ALL INFORMATION STATED IN THIS RESUME IS TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE. I AUTHORIZE UNDP/UNOPS OR ITS AGENT TO VERIFY THE INFORMATION PROVIDED IN THIS RESUME.

(Signature)

## **Annex VII**

### **FINANCIAL OFFER**

Having examined the Solicitation Documents, I, the undersigned, offer to provide all the services in the TOR for the sum of VND .....

This is a lump sum offer covering all associated costs for the required service (fee, meal, accommodation, travel, taxes etc).

**Cost breakdown:**

<b>No.</b>	<b>Description</b>	<b>Number of days</b>	<b>Rate (VND)</b>	<b>Total</b>
1	Consultancy fee			
2	Out of pocket expenses			
2.1	Travel			
2.2	Per diem			
2.3	Full medical examination and Statement of Fitness to work for consultants from and above 62 years of age and involve travel – (required before issuing contract). *			
2.5	Others (pls. specify).....			
	<b>TOTAL</b>			

\* Individual Consultants/Contractors who are over 62 years of age with assignments that require travel and are required, at their own cost, to undergo a full medical examination including x-rays and obtaining medical clearance from **an UN-approved doctor** prior to taking up their assignment.

I undertake, if my proposal is accepted, to commence and complete delivery of all services specified in the contract within the time frame stipulated.

I agree to abide by this proposal for a period of 120 days from the submission deadline of the proposals.

Dated this day /month                      of year

Signature